



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): David L. Wood, et al.

Title: LOG-ON SERVICE PROVIDING CREDENTIAL LEVEL CHANGE
WITHOUT LOSS OF SESSION CONTINUITY

Application No.: 10/643,813

Filed: August 19, 2003

Examiner: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Atty. Docket No.: 004-4017-1

September 24, 2003

COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97**

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, the undersigned brings the patents, publications, applications or other information identified in the attached:

- ☒ Form(s) PTO-1449
☒ Other: List of Pending U.S. Patent Applications (1 page)

to the Examiner's attention in the above-identified application. **These references were cited in parent Application No. 09/368,506, filed August 5, 1999. Accordingly, in accordance with C.F.R. §1.98(d), copies of references are not being supplied herewith.** Citation of such information shall not be construed as:


1. an admission that the information necessarily is, or corresponds to, prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described below; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

For each item of information listed that is not in the English language, the undersigned has provided a concise explanation of the relevance through (i) an English language abstract, (ii) an English language equivalent application, or (iii) if cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action that indicates the degree of relevance found by the foreign office.

FEE AUTHORIZATION

- ☒ This Information Disclosure Statement is filed within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) or within three months of entry of the national stage as set forth in § 1.491 in an international application. Therefore, no fee is required.
- ☐ The undersigned believes that this Information Disclosure Statement is being filed before the mailing date of a first Office action on the merits or before the mailing date of a first Office action after the filing of a request for continued examination under § 1.114. Therefore, no fee is believed required.

If however, this Information Disclosure Statement is filed after the period specified in § 1.97(b), the undersigned hereby authorizes the Commissioner to charge the fee set forth in § 1.17(p) to Deposit Account No. 50-0631.

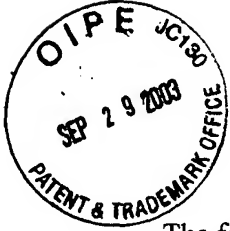
<u>CERTIFICATE OF MAILING OR TRANSMISSION</u>	
I hereby certify that, on the date shown below, this correspondence is being	
<input checked="" type="checkbox"/> deposited with the US Postal Service with sufficient postage as first class mail, in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.	
<input type="checkbox"/> facsimile transmitted to the US Patent and Trademark Office.	
 Steven R. Gilliam	<u>9/24/03</u> Date

Respectfully submitted,



Steven R. Gilliam, Reg. No. 51,734
Attorney for Applicant(s)
(512) 347-9030
(512) 347-9031 (fax)

EXPRESS MAIL LABEL: _____



LIST OF PENDING U.S. PATENT APPLICATIONS

The following pending U.S. patent applications are listed for consideration by the Examiner.

- 1) U.S. Application Serial No. 09/368,507, entitled SINGLE SIGN-ON FRAMEWORK WITH TRUST-LEVEL MAPPING TO AUTHENTICATION REQUIREMENTS, filed August 5, 1999, by inventors David L. Wood, Derk Norton, Paul Weschler, Chris Ferris, and Yvonne Wilson.
- 2) U.S. Application Serial No. 09/368,504, ENTITLED SECURITY ARCHITECTURE WITH ENVIRONMENT SENSITIVE CREDENTIAL SUFFICIENCY EVALUATION, filed August 5, 1999, by inventors David L. Wood, Thomas Pratt, Michael B. Dilger, Derk Norton, and Yunas Nadiadi.
- 3) U.S. Application Serial No. 09/357,726, entitled SECURE DATA BROKER, filed July 21, 1999, by inventors David L. Wood, Michael B. Dilger, Thomas Pratt, and Derk Norton.
- 4) U.S. Application Serial No. 09/368,502, entitled ACCESS MANAGEMENT SYSTEM AND METHOD EMPLOYING SECURE CREDENTIALS, filed August 5, 1999, by inventors David L. Wood and Derk Norton.

Pursuant to MPEP § 609(D), Applicants wish to avoid publication of identifying information for the pending applications listed above on any patent that issues from the above-identified application.

Applicant requests that the Examiner indicate consideration of the pending applications listed above in accordance with MPEP 609(C)(2) by marking "all considered" hereon together with his or her initials, and returning a copy of this page, so marked, with the next communication.

THANK YOU.

U.S. Department of Commerce, Patent and Trademark Office					Attorney Docket No.: 004-4017-1			
					Application No.: 10/643,813			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT					Applicant(s): David L. Wood et al.			
(Use several sheets if necessary)					Filing Date: 08-19-2003			
					Group Art Unit: Not Yet Assigned			
					Date Submitted: September 24, 2003			
U.S. Patent Documents								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
	AA	5,875,296	Feb. 23, 1999	Shi et al.	395	188.01		
	AB	5,826,014	Oct. 20, 1998	Coley et al.	395	187.01		
	AC							
	AD							
	AE							
	AF							
	AG							
	AH							
	AI							
Foreign Patent Documents								
							Translation	
		Document	Date	Country	Class	Subclass	Yes	No
	AL	96/42041	27 Dec. 1996	WO				
	AM	98/25373	11 Jun. 1998	WO				
	AN	98/57247	17 Dec. 1998	WO				
	AO	0 465 016 A	Jan. 8, 1992	EP				
	AP	0 849 680 A	June 24, 1998	EP				
	AQ							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AR							
	AS							
	AT							
Examiner			Date Considered					
<p><small>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.</small></p>								

U.S. Department of Commerce, Patent and Trademark Office		Attorney Docket No.: 004-4017-1
		Application No.: 10/643,813
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant(s): David L. Wood, et al.
		Filing Date: 08-19-2003
		Group Art Unit: Not Yet Assigned
		Date Submitted: September 24, 2003
NON PATENT LITERATURE DOCUMENTS		
*Examiner Initial	Cite No.	(Including name of author in capital letters, title of article, title of item, date, pertinent pages, volume-issue number(s), publisher, city and/or country where published.)
	AA	"X/Open Single Sign-On Service (XSSO) - Pluggable Authentication Modules," <i>Open Group Preliminary Specification</i> , P702 ISBN 1-85912-144-6, June 1997, 140 pages.
	AB	"Kerberos: An Authentication Service for Computer Networks," USC/ISI Technical Report number ISI/RS-94-399, 1994, <i>IEEE Communications Magazine</i> , Vol. 32, No. 9, pages 33-38, September 1994, http://nii.isi.edu/publications/kerberos-neuman-tso.html , 12 pages.
	AC	"A White Paper on Authentication and Access Management Issues in Cross-organizational Use of Networked Information Resources," Clifford Lynch, editor, <i>Coalition for Networked Information</i> , April 14, 1998, http://www.cni.org/projects/authentication/authentication-wp.html , 28 pages.
	AD	"AutoSecure SSO, The single-point information security solution for heterogeneous environments," <i>PLATINUM Technology Brochure</i> , downloaded May 3, 1999, http://www.platinum.com/products/brochure/sm/autosso/ssobroch.htm , 5 pages.
	AE	D. Davis and R. Swick, "Workstation Services and Kerberos Authentication at Project Athena," <i>MIT Laboratory for Computer Science Technical Memorandum #424</i> , March 17, 1989, 12 pages.
	AF	Don Davis, "Kerberos Plus RSA for World Wide Web Security," <i>Proc. 1st USENIX Workshop on Electronic Commerce</i> , NYC, August 3, 1995, 4 pages.
	AG	D. Geer and D. Davis, "Token-Mediated Certification and Electronic Commerce," <i>Proc. 2nd USENIX Workshop on Electronic Commerce</i> , Oakland, CA, November 1996, 11 pages.
	AH	"Enterprise Single Sign-On, Definitions and Approaches," <i>PLATINUM Technology White Paper</i> , downloaded May 3, 1999, http://www.platinum.com/products/wp/wp_sso.htm , 7 pages.
	AI	"How Does PATROL CGI Server Work?" BMC Software, Houston, TX, downloaded April 20, 1999, http://www.bmc.com/cgiserver/info/how_itworks.html , 3 pages.
	AJ	"How to Develop a Network Security Policy, An Overview of Internetworking Site Security," <i>Sun Microsystems White Paper</i> , Palo Alto, CA, downloaded April 20, 1999, http://www.sun.com/security/sec.policy.wp.html , 23 pages.
	AK	"Kerberos and 3rd Party Authentication," Version 2.1 - March 26, 1994, <i>SecurityDynamics White Paper</i> , Bedford, MA, http://www.securitydynamics.com/products/whitepapers/kerberos.html , 8 pages.
	AL	<i>Mastering Security on the Internet for Competitive Advantage</i> , Sun Microsystems, Palo Alto, CA, August 1997, 47 pages.
	AM	Ari Medvinsky et al., "Public Key Utilizing Tickets for Application Servers (PKTAPP)," <i>Cybersafe Corporation INTERNET-DRAFT</i> , Common Authentication Technology Working Group, Issaquah, WA, March 1998, http://www.ietf.org/internet-drafts/draft-ietf-cat-pktapp-01.txt , 6 pages.
	AN	"Optimizing Internet/Intranet Services with PATROL CGI Server," <i>BMC Software White Paper</i> , Houston, TX, downloaded April 20, 1999, http://www.bmc.com/cgiserver/info/cgawp.html , 15 pages.
	AO	"PLATINUM AutoSecure Single Sign On (AutoSecure SSO)," <i>PLATINUM Technology Fact Sheet</i> , downloaded May 3, 1999, http://www.platinum.com/products/factsht/assso_fs.htm , 3 pages.
	AP	"Products Application Server," <i>Art Technology Group Product Overview Developer Workbench</i> , downloaded April 21, 1999, http://www.atg.com/products/das/das_main.html?didframe=true , 4 pages.
	AQ	"TrustBroker™ Security Server, The Only Multi-Mechanism Authentication Server," CyberSafe Corporation, Issaquah, WA, 1999, 2 pages.
Examiner		Date Considered
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.		

U.S. Department of Commerce, Patent and Trademark Office		Attorney Docket No.: 004-4017-1
		Application No.: 10/643,813
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant(s): David L. Wood, et al.
(Use several sheets if necessary)		Filing Date: 08-19-2003
		Group Art Unit: Not Yet Assigned
		Date Submitted: September 24, 2003
NON PATENT LITERATURE DOCUMENTS		
*Examiner Initial	Cite No.	(Including name of author in capital letters, title of article, title of item, date, pertinent pages, volume-issue number(s), publisher, city and/or country where published.)
	AR	Hubbard, S. D. et al., "Firewalling the Net" BT Technology Journal, BT Laboratories, GB, vol. 15, no. 2, April 1997, XP000703560, ISSN: 1358-3948, pages 94-106.
	AS	Doty, Ted, "A Firewall Overview", ConneXions, vol. 9, no. 7, 1 July 1995, XP000564023, ISSN: 0894-5926, pages 20-23.
	AT	W. Stallings, "Authentication Applications", <i>Cryptography and Network Security</i> , Chapter 11, pp. 323-340, 1998 Prentice-Hall, US XP002161792
	AU	R. Ganesan, "Yaksha: Augmenting Kerberos with Public Key Cryptography", <i>Proceedings of the Symposium on Network and Distributed System Security</i> , pp. 132-143, Feb. 16, 1995, IEEE, XP002148503
	AV	W. Stallings, "IPV6: The New Internet Protocol", <i>IEEE Communications Magazine</i> , IEEE Service Center, Piscataway, N.J., US, vol. 34, no. 7, July 1, 1996, pp. 96-108 XP000623747, ISSN: 0163-6804
	AW	
	AX	
	AY	
	AZ	
	AAA	
	ABB	
	ACC	
	ADD	
	AEE	
	AFF	
	AGG	
	AHH	
Examiner		Date Considered
<p><small>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.</small></p>		